

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **HER-2/NEU FUSION PROTEINS** the specification of which _____ is attached hereto or X was filed on January 28, 2000 as Application No. 09/493,480 and was amended on _____ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
60/117,976	01/29/99

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

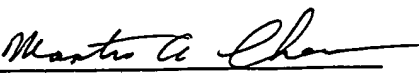
Application No.	Date of Filing	Status

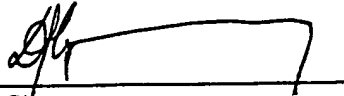
Full Name of Inventor 1:	Last Name: CHEEVER	First Name: MARTIN	Middle Name or Initial: A.
Residence & Citizenship:	City: Mercer Island	State/Foreign Country: Washington	Country of Citizenship: USA
Post Office Address:	Post Office Address: 6210 SE 22nd	City: Seattle	State/Country: Washington
			Postal Code: 98040

Full Name of Inventor 2:	Last Name: GHEYSEN	First Name: DIRK	Middle Name or Initial:
Residence & Citizenship:	City: Rixensart	State/Foreign Country: Belgium	Country of Citizenship: BELGIUM
Post Office Address:	Post Office Address: 89, Rue de L'Institut	City: Rixensart	State/Country: Belgium
			Postal Code: B-1330

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Express Mail No.
EL 827035155 US

Signature of Inventor 1	
	
Martin A. Cheever	
Date	5/4/00

Signature of Inventor 2	
	
Dirk Gheysen	
Date	28 April 2000

FORM 1063331 v1

POWER OF ATTORNEY BY ASSIGNEE

Corixa Corporation is the Assignee of the invention entitled: HER2/NEU FUSION PROTEINS the specification of which is attached hereto or X was filed on January 28, 2000 as Application Serial No. 09/493,480.

Assignee hereby appoints the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Annette S. Parent, Reg. No. 42,058
 Kevin L. Bastian, Reg. No. 34,774
 Kathleen L. Choi, Reg. No. 43,433
 Eugenia Garrett-Wackowski, Reg. No. 37,330

Send Correspondence to:
 Annette S. Parent
 TOWNSEND and TOWNSEND and CREW LLP
 Two Embarcadero Center, 8th Floor
 San Francisco, CA 94111-3834

Direct Telephone Calls to:
 (Name, reg. no., tele. no.)

Annette S. Parent
 Reg. No.: 42,058
 (415) 576-0200

Corixa Corporation

Date: 14 June 00

By: 
 (Signature)

Name: Kathleen McPereghan

Title: VP, General Counsel

1085783

Express Mail No.
 EL 827035155 US

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicant: Martin A. Cheever

Application No.: 09/493,480

Filed: January 28, 2000

For: HER2/NEU FUSION PROTEINS

Corixa Corporation

a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is assignee of the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame(s) _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 14 June 00

Name : Kathleen McKereghan

Title : VP, General Counsel

Signature: [Signature]

POWER OF ATTORNEY BY ASSIGNEE

SmithKline Beecham Biologicals S.A. is the Assignee of the invention entitled: HER2/NEU FUSION PROTEINS the specification of which ___ is attached hereto or X was filed on January 28, 2000 as Application Serial No. 09/493,480.

Assignee hereby appoints the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Annette S. Parent, Reg. No. 42,058
 Kevin L. Bastian, Reg. No. 34,774
 Kathleen L. Choi, Reg. No. 43,433
 Eugenia Garrett-Wackowski, Reg. No. 37,330

Send Correspondence to:

Annette S. Parent
 TOWNSEND and TOWNSEND and CREW LLP
 Two Embarcadero Center, 8th Floor
 San Francisco, CA 94111-3834

Direct Telephone Calls to:
 (Name, reg. no., tele. no.)

Annette S. Parent
 Reg. No.: 42,058
 (415) 576-0200

SmithKline Beecham Biologicals S.A.

Date:

12th July 2000

By:

[Signature]
 (Signature)

Name:

Jean STEPHENNE

Title:

President and General Manager

1085803

Express Mail No.
 EL 827035155 US

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicant: Dirk Gheysen

Application No.: 09/493,480

Filed: January 28, 2000

For: HER2/NEU FUSION PROTEINS

SmithKline Beecham Biologicals S.A. a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is assignee of the patent application identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame(s) _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 17 July 2000
Name : Jean Stephenne
Title : President & General Manager
Signature: _____

106050-93243360

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT
Attorney Docket No.: 014058-009810US

U.S. Patent and Trademark Office
Assignment Division
Box Assignments CG-4
1213 Jefferson Davis Highway, Suite 320
Washington, D.C. 20231

On DECEMBER 4, 2000

TOWNSEND and TOWNSEND and CREW LLP

By: Sharon Levine

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Cheever *et al.*

Application No.: 09/493,480

Filed: January 28, 2000

For: HER-2/NEU FUSION PROTEINS

Examiner: Not yet assigned

Art Unit: 1646

REQUEST FOR CORRECTION OF
RECORDATION OF ASSIGNMENT

U.S. Patent and Trademark Office
Assignment Division
Box Assignments CG-4
1213 Jefferson Davis Highway, Suite 320
Washington, D.C. 20231

Sir:

This is a request for a corrected Recordation of Assignment in the above-identified patent application due to the Applicants' error. Enclosed are copies of the Recordation of Assignment, the Recordation Form Cover Sheet (as filed with the Assignment) and Assignments in the above-identified patent application.

There is an error in that the date of the assignment signed by Dirk Gheysen should be July 11, 2000.

011121/0145 PAGE 2

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



01458-009810US
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

NOVEMBER 22, 2000

PTAS
TOWNSEND AND TOWNSEND AND CREW LLP
ANNETTE S. PARENT, ESQ.
TWO EMBARCADERO CENTER, 8TH FLOOR
SAN FRANCISCO, CA 94111-3834



101479493A

COPY

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/03/2000

REEL/FRAME: 011121/0145
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
CHEEVER, MARTIN A.

DOC DATE: 06/13/2000

ASSIGNOR:
GHEYSEN, DIRK

DOC DATE: ~~06/11/2000~~
07/11/2000

ASSIGNEE:
CORIXA CORPORATION
1124 COLUMBIA STREET
SUITE 200
SEATTLE, WASHINGTON 98104

ASSIGNEE:
SMITHKLINE BEECHAM BIOLOGICALS
S.A.
89, RUE DE L'INSTITUT
RIXENSART, BELGIUM B-1330

SERIAL NUMBER: 09493480
PATENT NUMBER:

FILING DATE: 01/28/2000
ISSUE DATE:

Express Mail No.
EL 827035155 US

TOWNSEND & CREW
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10-04-2000

y Docket No. 014058-009810US

FORM PTO-1595
(Rev. 6-93)

101479493

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please record this document or copy thereof

1. Name of conveying party(ies):

Martin A. Cheever
Dirk GheysenAdditional name(s) of conveying parties attached? ☐ Yes
☒ No.

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: June 13, 2000 and ~~June 11, 2000~~ JULY 11, 2000

2. Name and address of receiving party(ies)

Name: Corixa Corporation

Street Address: 1124 Columbia Street, Suite 200

City: Seattle State: Washington ZIP: 98104

Name: SmithKline Beecham Biologicals S.A.

Street Address: 89, Rue de L'Institut

City: Rixensart Country: Belgium ZIP: B-1330

Additional names and addresses attached? ☐ Yes ☒ No

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.: 09/493,480

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: ANNETTE S. PARENT, ESQ.
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved: One

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed ☒ Charge Fees to Deposit Account☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.

Annette S. Parent
Name of Person Signing

Signature

Date

Atty Reg. No. 42,058

Total number of pages including cover sheet, attachments and document 5

10. Change Correspondence Address to that of Part 5? ☐ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion

Mail documents to be recorded with required cover to:

Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 2023110/04/2000 NTHAI1 00000044 201430 09493480
01 FC:581 40.00 CH